

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Thomas, Lawrence J.

Serial No.: 09 845,511

Filed: April 30, 2001

Entitled: PLASMID-BASED VACCINE FOR  
TREATING ATHEROSCLEROSIS

Examiner: not yet assigned

Art Unit: 1614

Attorney Docket No.: TCS-414.2P US-1

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.56, 1.97 AND 1.98**

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Dear Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicants submit this Information Disclosure Statement pursuant to 37 C.F.R. §§ 1.97 and 1.98 in the above-identified application for consideration by the Patent Office. A listing of the cited documents is also enclosed, as well as, for the Examiner's convenience, copies of the documents in the list. Pursuant to 37 C.F.R. § 1.97(b)(3), because this Statement is being submitted before the first Office Action on the merits, no fee is required.

**US Patents**

US 5,242,687; issue date 07 September 1993; Tykocinski et al.  
US 5,338,829; issue date 16 August 1994; Weiner et al.  
US 5,705,388; issue date 06 January 1998; Couture et al.

**Foreign Patent Applications**

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PCT, Publication No. WO 93/23076. Publication Date 25 November 1993.  
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Applicants do not intend to represent that any of the documents submitted herein is material prior art to this invention or that the list represents an exhaustive search of documents related to this invention.

Applicants respectfully request that the documents submitted herein be considered and made of record in this application.

Respectfully submitted,



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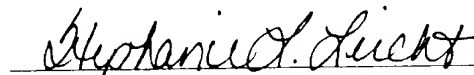
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| Modified FORM PTO-1449  | ATTY. DOCKET NO.<br>TCS-414.2P US-1 | SERIAL NO.<br>09/845,511    |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT | APPLICANT<br>Thomas, Lawrence J.    |                             |
| (Use several sheets if necessary)   | FILING DATE<br>April 30, 2001       | GROUP<br>(not yet assigned) |

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## REFERENCE DESIGNATION

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| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE     | NAME              | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|----|-----------------|----------|-------------------|-------|----------|-------------------------------|
|                     | AA | US 5,242,687    | 09/07/93 | Tykocinski et al. |       |          |                               |
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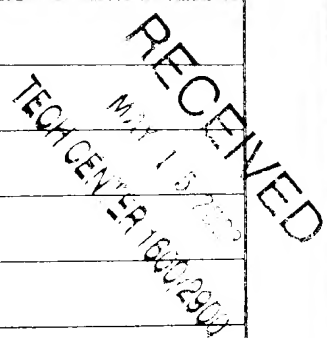
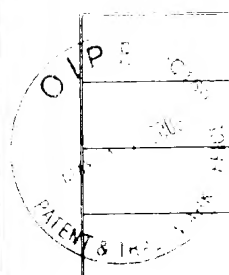
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| DL       | Tam, <i>Proc. Natl. Acad. Sci., USA</i> , 85: 5409-5413 (1988)  |
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| DV  | Watanabe et al., <i>Proc. Natl. Acad. Sci. USA</i> , 89: 5103-5107 (1992)   |          |                 |
| DW  | Watson et al., <i>Molecular Biology of the Gene</i> , 4 <sup>th</sup> ed., (The Benjamin/Cummings Publishing Company, Inc., Melo Park, CA., 1987) page 836  |          |                 |
| DX  | Wedrychowski et al., <i>Biotechnology</i> , 11(4): 486-489 (1993)   |          |                 |
| DY  | Weisman et al., <i>Science</i> , 249: 146-151 (1990)  |          |                 |
| DZ  | Whitlock et al., <i>J. Clin. Invest.</i> , 84:129-137 (1989)  |          |                 |
| EA  | Yeh et al., <i>J. Immunol.</i> , 146: 250-256 (1991)  |          |                 |
| EB  | Yen et al., <i>J. Clin. Invest.</i> , 83: 2018-2024 (1989)  |          |                 |
| EC  | Zannis et al., "Genetic mutations affecting human lipoproteins, their receptors, and their enzymes", <i>Advances in Human Genetics</i> , Vol. 21, pp. 145-319 (Plenum Press, New York, NY., 1993) |          |                 |
| ED  | Zegers et al., <i>Eur. J. Immunol.</i> , 23: 630-634 (1993)   |          |                 |
| EE  | Zhang et al., <i>Cell</i> , 1: 751-761 (1994)   |          |                 |
| <table border="1"> <tr> <td>EXAMINER</td> <td>DATE CONSIDERED</td> </tr> </table> |   | EXAMINER | DATE CONSIDERED |
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609.  
 Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant

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